

AMENDMENTS TO THE SPECIFICATION

Amend the paragraph beginning at page 1, line 8 to read as follows:

Q¹
co-pending U.S. ~~Serial No.~~ application Ser. No. 09/773,139, entitled "APPARATUS, METHODS AND ARTICLES OF MANUFACTURE FOR CONSTRUCTING AND EXECUTING COMPUTERIZED TRANSACTION PROCESSES AND PROGRAMS" filed on January 31, 2001, by Hernan G. Otero, Steven B. Horn and John Tumilty, which disclosure is incorporated herein by reference; and

Amend the paragraph beginning at page 1, line 14 to read as follows:

Q²
co-pending U.S. ~~Serial No.~~ application Ser. No. 09/823,125, entitled "APPARATUS, METHODS AND ARTICLES OF MANUFACTURE FOR CONSTRUCTING AND EXECUTING COMPUTERIZED TRANSACTION PROCESSES AND PROGRAMS" filed on March 30, 2001, by Hernan G. Otero, Steven B. Horn and John Tumilty, which disclosure is incorporated herein by reference.

Amend the paragraph beginning at page 6, line 8 to read as follows:

Q³
The classes comprise, in the preferred embodiments; an Algorithm package for executing customized trading strategies, an Event package for implementation of different event interests that are supported by the computerized trading system, an Action package for implementing actions that are to be taken by the computerized trading system; an Order Execution of an Exchange package of classes for connecting to different exchanges, a an Input package of classes to implement the input driver for the engine object, a Local package that

a³ contains classes that pertain to the location of the exchanges of interest, a Logic package that provides the program's logic engine implementation classes, a Tools package that contains classes that provide administrative tools, and a Finutil package that contains financial application utility classes.

Amend the paragraph beginning at page 7, line 5 to read as follows:

a⁴ Figure 1 shows a schematic diagram of a preferred embodiment. At 10 is shown the engine infrastructure of the preferred embodiment. Written in Java®, and present on the server, this software enables various data, plug-ins, applications, processes, and algorithms to be used in order to ~~customized~~ customize the trading process. These data, plug-ins, applications, processes, and algorithms are imported or plugged into the engine as desired in order to implement a particular trading strategy.

Amend the paragraph beginning at page 8, line 21 to read as follows:

a⁵ Returning to Figure 2, the Market Specifics plug-in 1 has been chosen. Market specifics provide specific variables, data and other plug-ins necessary for the specific market in which the embodiment is being used. For example, ~~they~~ there may be different limits on trading volume in one market versus another. The preferred embodiments permit configuration and modification of these Market Specifics, by plug-ins, so that they may be used in a variety of markets as desired.

Amend the paragraph beginning at page 12, line 11 to read as follows:

a⁶ Figures 6 and 7 show how various mappings or parts may be used to construct combinations. Those combinations, constructed in Figure 3 6, are then inserted into the engine

20 in Figure 7. Note that a different Market Specifics plug-in, Market Specifics 2, has been chosen in Figure 7. These Market Specifics plug-ins may be from a predetermined set. In the especially preferred embodiments, the market plug-in is usually maintained over some static trading period. A trader, for example, may trade exclusively on the New York Stock Exchange, using the market plug-in. In enterprise installations, the market plug-ins may be set for the particular trading markets across the enterprise, and remain as set for a predetermined or static period of time. The algorithm used may be parameterized by the trader or another, as is explained below, in order to execute specific trades for a specific stock, price and number of shares.

Amend the paragraph beginning at page 12, line 22 to read as follows:

The market type of plug in and the algorithm type of plug in are usually preconfigured and supplied to the user. If the market plug in is preconfigured and supplied to the user, it will, in most embodiments, be maintained in that embodiment. For example, an embodiment that is installed in an office that specializes in trades on the Tokyo Stock Exchange will have a Tokyo Stock Exchange plug in preconfigured therein. This embodiment will then be maintained with the Tokyo market plug in. Another embodiment may be installed in an office that trades on the New York Stock Exchange. This embodiment will have a New York Stock Exchange plug in. Of course, an office or location may trade in numerous instruments, on numerous exchanges, and/or may change the exchange it specializes in. In those offices, embodiments may be used that change the Market plug in as desired.

Amend the paragraph beginning at page 15, line 11 to read as follows:

a8
Parameterization of ~~an~~ a preconfigured algorithm plug in may be thought of as one type of customization available to the user. Other types are:

Amend the paragraph beginning at page 15, line 20 to read as follows:

a9
The first two customization types, 1) Changing the preconfigured algorithm plug in in the engine to a new algorithm plug in, either preexisting or newly constructed; and 2) Constructing a new algorithm plug in through modifying a preexisting algorithm plug in, are primarily accomplished, in the preferred embodiments, through use of the algorithm configuration interface of Figure 4. The interface is described further in co-pending U.S. patent application ~~xx/xxx,xxx, entitled co-pending U.S. Serial No. application~~ Ser. No. 09/773,139, entitled "APPARATUS, METHODS AND ARTICLES OF MANUFACTURE FOR CONSTRUCTING AND EXECUTING COMPUTERIZED TRANSACTION PROCESSES AND PROGRAMS."

Amend the paragraph beginning at page 18, line 1 to read as follows:

a10
A new algorithm plug in can be constructed through modifying an existing algorithm, or can be constructed anew. In the former instance, as explained above, the interfaces can be used in the especially preferred embodiments, in manner or manners explained in co-pending U.S. patent application ~~xx/xxx,xxx, entitled co-pending U.S. Serial No. application~~ Ser. No. 09/773,139, entitled "APPARATUS, METHODS AND ARTICLES OF MANUFACTURE FOR CONSTRUCTING AND EXECUTING COMPUTERIZED TRANSACTION PROCESSES AND PROGRAMS."

Amend the paragraph beginning at page 18, line 13 to read as follows:

a" Therefore, if the new algorithm requires writing new code, the process of the preferred embodiment begins with writing a new AlgorithmContext class. An AlgorithmContext is created from the class when the algorithm is implemented in the engine, in the manner or manners described in co-pending U.S. ~~Serial No. patent~~ application ~~Ser. No. XX/XXX,XXX~~ Ser. No. 09/823,125 entitled "APPARATUS, METHODS AND ARTICLES OF MANUFACTURE FOR CONSTRUCTING AND EXECUTING COMPUTERIZED TRANSACTION PROCESSES AND PROGRAMS" filed on March ~~XX~~ 30, 2001, by Hernan G. Otero, Steven B. Horn and John Tumilty.
